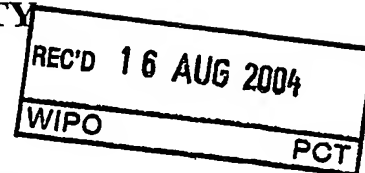


# PATENT COOPERATION TREATY

## PCT



### INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference <b>OPP021038KR</b>	<b>FOR FURTHER ACTION</b> See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)	
International application No. <b>PCT/KR 2003/000634</b>	International filing date ( <i>day/month/year</i> ) <b>28 March 2003 (28.03.2003)</b>	Priority Date ( <i>day/month/year</i> ) <b>18 April 2002 (18.04.2002)</b>
International Patent Classification (IPC) or national classification and IPC  <b>IPC<sup>7</sup>: C08G 77/06</b>		
Applicant <b>LG CHEM, LTD.</b>		

1.	This international preliminary examination report has been prepared by this International Preliminary Examination Authority and is transmitted to the applicant according to Article 36.
2.	This REPORT consists of a total of <u>  4  </u> sheets, including this cover sheet.  <input type="checkbox"/> This report is also accompanied by ANNEXES, i.e., sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).  These annexes consist of a total of <u>                    </u> sheets.
3.	This report contains indications relating to the following items: <ul style="list-style-type: none"> <li>I.      <input checked="" type="checkbox"/> Basis of the opinion</li> <li>II.     <input type="checkbox"/> Priority</li> <li>III.    <input type="checkbox"/> Non-establishment of opinion with regard to novelty, inventive step and industrial applicability</li> <li>IV.    <input type="checkbox"/> Lack of unity of invention</li> <li>V.     <input checked="" type="checkbox"/> Reasoned statement under Rule 66.2(a)(ii) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement</li> <li>VI.    <input type="checkbox"/> Certain documents cited</li> <li>VII.   <input type="checkbox"/> Certain defects in the international application</li> <li>VIII. <input type="checkbox"/> Certain observations on the international application</li> </ul>

Date of submission of the demand  <div style="text-align: center; font-weight: bold;">18.11.2003</div>	Date of completion of this report  <div style="text-align: center; font-weight: bold;">28 July 2004 (28.07.2004)</div>
Name and mailing address of the IPEA/AT Austrian Patent Office Dresdner Straße 87 A-1200 Vienna Facsimile No. 1/53424/200	Authorized officer  <div style="text-align: center; font-weight: bold;">BAUMSCHABL F.</div> Telephone No. 1/53424/459

# INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No.

PCT/KR 2003/000634

## I. Basis of the report

### 1. With regard to the elements of the international application:\*

- ☒ the international application as originally filed
- ☐ the description:  
pages \_\_\_\_\_, as originally filed  
pages \_\_\_\_\_, filed with the demand  
pages \_\_\_\_\_, filed with the letter of \_\_\_\_\_.
- ☐ the claims:  
pages \_\_\_\_\_, as originally filed  
pages \_\_\_\_\_, as amended (together with any statement) under Article 19  
pages \_\_\_\_\_, filed with the demand  
pages \_\_\_\_\_, filed with the letter of \_\_\_\_\_.
- ☐ the drawings:  
pages \_\_\_\_\_, as originally filed  
pages \_\_\_\_\_, filed with the demand  
pages \_\_\_\_\_, filed with the letter of \_\_\_\_\_.
- ☐ the sequence listing part of the description:  
pages \_\_\_\_\_, as originally filed  
pages \_\_\_\_\_, filed with the demand  
pages \_\_\_\_\_, filed with the letter of \_\_\_\_\_.

### 2. With regard to the language, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.

These elements were available or furnished to this Authority in the following language \_\_\_\_\_ which is:

- ☐ the language of a translation furnished for the purposes of international search (under Rule 23.1(b)).
- ☐ the language of publication of the international application (under Rule 48.3(b)).
- ☐ the language of the translation furnished for the purposes of international preliminary examination (under Rule 55.2 and/or 55.3).

### 3. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

- ☐ contained in the international application in printed form.
- ☐ filed together with the international application in computer readable form.
- ☐ furnished subsequently to this Authority in written form.
- ☐ furnished subsequently to this Authority in computer readable form.
- ☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.
- ☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

### 4. ☐ The amendments have resulted in the cancellation of:

- ☐ the description, pages \_\_\_\_\_.
- ☐ the claims, Nos. \_\_\_\_\_.
- ☐ the drawings, sheets/fig \_\_\_\_\_.

### 5. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the Supplemental Box (Rule 70.2(c)).\*\*

\* Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as „originally filed“ and are not annexed to this report since they do not contain amendments (Rules 70.16 and 70.17).

\*\* Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.

# INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No.  
PCT/KR 2003/000634

V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement			
1. Statement			
Novelty (N)	Claims	4, 11-18	YES
	Claims	1-3, 5-10	NO
Inventive step (IS)	Claims	—	YES
	Claims	1 - 18	NO
Industrial applicability (IA)	Claims	1 - 18	YES
	Claims	—	NO
Citations and explanations (Rule 70.7)			
<p>US 5548053 A relates to a process for the preparation of organopolysiloxan resins. According to column 3, line 15 – column 6, line 35, examples and claims different siloxanes are mixed and treated very similar to the conditions of the method of the present application (claims 1-3 and 5 – 10).</p> <p>At this point there should be added that the method (especially claim 1) is not clearly specified and may cause some misinterpretations. The technical features (...hydrolysing and condensing the “first mixture” by adding water and catalyst...) are very unspecific. The functions of the “second” and “third mixture” may be interpreted in different ways. Speaking from a “first mixture” is only regarded as useful if there is at least a “second mixture”. But the formulation “silane compound being selected from the group consisting of” (a,b,c,d) suggests that “second” and “third mixtures” are only optional compounds. Similar considerations (“first” – third mixture”) should be made for claim 11.</p> <p>US 5656555 A discloses a method of forming a thin film dielectric on a semiconductor substrate. US 5656555 A relates to modified hydrogen silesquioxane resin and modifying agents (e.g. alkyl alkoxysilanes). Combining the state of the art of the subject matter of US 5656555 A with the state of the art of the subject matter of US 5548053 A anticipates the inventiveness of the subject matter of the present application according to claims 11 to 18.</p> <p>Therefore the subject matter of the present application according to claims 1-3 and 5 –10 is not regarded to be new. The oxidizing step of the hydrosilane compound (claim 4) is considered to be new but not to be inventive alone.</p> <p>GB 627800 A (page 2, lines 12 – 65, examples, claims), GB 746193 A (page 3, lines 17 – 30, claims) and GB 632955 A (page 2, line 109 – page 3, line 18) describe methods (hydrolyzation, condensation, oxidation) like the subject matter of the present application (claims 1 – 3, 5 – 10).</p> <p>JP 06248085 A (abstract), JP 05295270 A (abstract) and GB 2125423 A are given to illustrate the further state of the art.</p>			

**INTERNATIONAL PRELIMINARY EXAMINATION REPORT**

International application No.  
PCT/KR 03/00634

**Supplemental Box**

(To be used when the space in any of the preceding boxes is not sufficient)

Continuation of: Box V (page 1)

Industrial applicability is given.